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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/808,820	03/25/2004	James W. Toffey	649087.0004

Steven B. Pokotilow  
 Stroock & Stroock & Lavan LLP  
 180 Maiden Lane  
 New York, NY 10038



CONFIRMATION NO. 7594

## FORMALITIES LETTER



\*OC000000012927764\*

Date Mailed: 06/14/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

07/30/2004 MAHME1 00000052 194709 10808820

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*A copy of this notice **MUST** be returned with the reply.*

For

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Docket No. 649087/004  
SPB/RE



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: James W. TOFFEY

Serial No.: 10/808,820

Art Unit: 3624

Filed: March 25, 2004

Examiner: To Be Assigned

For: METHOD AND SYSTEM FOR EFFECTING STRAIGHT-THROUGH-  
PROCESSING OF TRADES OF VARIOUS FINANCIAL  
INSTRUMENTS

July 26, 2004

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION FILED UNDER 37 C.F.R. 1.53(b)**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application  
Filed under 37 CFR 1.53(b) (the "Notice") mailed on June 14, 2004, Applicant submits herewith  
an executed Declaration and Power of Attorney, together with the required copy of the Notice to  
File Missing Parts.

**Certificate of Mailing (37 C.F.R. 1.8)**

I hereby certify that this correspondence is being deposited with the United  
States Postal Service with sufficient postage as first class mail in an  
envelope addressed to Mail Stop Missing Parts, Commissioner for Patents,  
PO Box 1450, Alexandria, VA 22313-1450, on **July 26, 2004**

Typed or printed name of person signing this certificate:

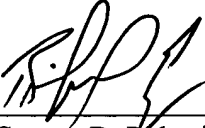
Signature: \_\_\_\_\_

Richard Eskew

The Commissioner is authorized to charge the \$130.00 required fee in connection with Applicant's late filing of the Declaration, as well as any other fee that may now or hereafter be due to Deposit Account No. 19-4709. A duplicate of this response is enclosed.

Applicant respectfully submits that this application is in condition for allowance. Early and favorable action is earnestly solicited. In the event that there are any questions, or should additional information be required, please do not hesitate to contact applicant's attorney at the number listed below.

Respectfully submitted,

  
for RICHARD ESKEW, REG. NO. 48,874  
Steven B. Pokotilow  
Registration No. 26,405  
Attorney for Applicant  
STROOCK & STROOCK & LAVAN LLP  
180 Maiden Lane  
New York, New York 10038-4982  
(212) 806-5400